

## **Filing a New International Application Under the Patent Cooperation Treaty (PCT)**

**For Any Questions Relating to PCT  
documents, please contact the PCT Help  
Desk:**

**Phone: (571) 272-4300  
Hours: M-F 9am – 4:30pm**

**Fax: (571) 273-0419  
24 hrs/day**

### **PCT International Applications must meet the following conditions:**

- Applicant must be a resident or national of a PCT Contracting State
  - The application must include at least one applicant who is a resident or national of the United States and the application must be entirely in English for the United States to be a competent receiving Office.
- Application must indicate that it is intended to be an international application
- At least one Contracting State must be designated
- Application must include the name of the applicant as prescribed

**The following documents must be submitted in order to get a PCT filing date:**

- Request
  - The PCT Request Form is required. It can be submitted in either the “conventional” format (Form PCT/RO/101) or in the PCT-EASY format created using the PCT-SAFE client. Discounts are offered for customers using the PCT-EASY format. For more information on PCT-SAFE visit <http://www.wipo.int/pct-safe/en/>
  - The Request does not need to be signed in order to get an initial filing date, but the receiving Office will invite the applicant to correct the defect by sending, an invitation to correct.
- Description: In EFS-Web, the Doc Code Description “Specification” takes the place of the PCT “Description.”
- Claims

EFS-Web Doc Code Category	EFS-Web Doc Code Description	Business Process	Doc Code in Transaction History	Form Type Number	Printable Image Sample Document
<b>Documents described as “CHII” should only be used when corresponding with the USPTO in its capacity as International Preliminary Examining Authority.</b>					
–PCT Request Forms					
PCT Application Part OR PCT–Form	RO/101 - Request form for new IA - Conventional	New international applications are accompanied by a bibliographic data form authored by the applicant. The form is referred to by number as the RO/101 or, alternatively, by name as the "Request". The "conventional" format of this form is filled out manually.	P.N.101.CONV	<a href="#">PCT/RO/ 101</a>	<a href="#">P.N.101.C ONV_sd</a>
OR					
Use this option to submit a signed copy of the request authored by PCT-EASY.					
PCT–Form	RO/101 - Request form for new IA- PCT EASY Format	New international applications are accompanied by a bibliographic data form authored by the applicant. The form is referred to by number as the RO/101 or, alternatively, by name as the "Request". The "EASY" format of this form is filled out using an authoring tool developed by the International Bureau (IB).	P.N.101.SAFE	<a href="#">P.N.101. SAFE info</a>	<a href="#">P.N.101.S AFE_sd</a>
PCT– Application Part OR Amendment OR Application Part	Specification	The written description of the invention.	SPEC		<a href="#">SPEC_sd</a>
PCT– Application Part OR Amendment OR Application Part	Claims	One or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as the invention.	CLM		<a href="#">CLM_sd</a>

**The following documents are a part of the international application and must, where applicable, be filed with the initial application papers**

- Abstract
- Drawings
- Sequence Listing part of the description (when required)
  - May be filed as a .TXT file or a .PDF file; however if filed as a PDF, you must also submit a .TXT file to comply with PCT Rule 13ter.
  - If attaching a .TXT file, use “Sequence Listing (Text File)” as Document Description
  - If attaching a .PDF file, use “Sequence Listing” as Document Description
- Tables related to sequence listing
  - If attaching a .PDF file, use “Specification” as Document Description.
  - If attaching a .TXT file Use “Table in text format” as Document Description

EFS-Web Doc Code Category	EFS-Web Doc Code Description	Business Process	Doc Code in Transaction History	Form Type Number	Printable Image Sample Document
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**Documents described as “CHII” should only be used when corresponding with the USPTO in its capacity as International Preliminary Examining Authority.**

PCT–Application Part OR Amendment OR Application Part	Abstract	A brief overview of the technical disclosure in the specification not exceeding 150 words in length.	ABST		<a href="#">ABST_sd</a>
PCT–Application Part OR Amendment OR Application Part	Drawings	One or more drawings where necessary for the understanding of the subject matter sought to be patented.	DRW		<a href="#">DRW_sd</a>

Use this format ONLY for attaching a Sequence Listing as a .TXT file –

PCT – Application Part	Sequence Listing (Text File)	Patent applications which contain disclosures of nucleotide and/or amino acid sequences must contain, as a separate part of the disclosure, a paper copy disclosing the nucleotide and/or amino acid sequences and associated information using the symbols and format established in current rules in biotechnology field	SEQ.TXT		
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Use this format ONLY if also attaching a Sequence Listing as a .PDF file –

PCT – Application Part	Sequence Listing	Patent applications which contain disclosures of nucleotide and/or amino acid sequences must contain, as a separate part of the disclosure, a paper copy disclosing the nucleotide and/or amino acid sequences and associated information using the symbols and format established in current rules in biotechnology field	SEQLIST		<a href="#">SEQLIST_sd</a>
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Use this format ONLY if attaching a table relating to a sequence listing in a .PDF file –

PCT–Application Part OR Amendment OR Application Part	Specification	The written description of the invention.	SPEC		<a href="#">SPEC_sd</a>
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Use this format ONLY if attaching a table relating to a sequence listing in a .TXT file –

PCT–Application Part	Table in Text Format	Applicants may attach a table relating to a sequence listing as a .TXT File	TABLE		
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**The following documents are often included in a new International Application filed under the PCT:**

- Transmittal Letter (Preferably PTO-1382)
- Fee Calculation Sheet
- Sequence Listing Cover Letter and/or Statement
- Power of Attorney or General Power of Attorney
- PCT Safe Validation Log
- Reference to deposited microorganisms or biological material
- Misc. Incoming Letter from Applicant – IA

EFS-Web Doc Code Category	EFS-Web Doc Code Description	Business Process	Doc Code in Transaction History	Form Type Number	Printable Image Sample Document
PCT – General Transmittal	PCT-Transmittal Letter	Upon filing any papers to the USPTO regarding the filing of a new application, applicant includes a transmittal letter indicating the contents of the submission, including any fees that may accompany the papers.	P.TR	<a href="#">PTO-1382</a>	
PCT – Application Part OR PCT – General Transmittal	RO/101 Annex (fee calculation sheet)	New international applications are accompanied by a form authored by the applicant showing how much money is due and for which fees.	P.N.101.ANX	<a href="#">PCT/RO/101</a>	
PCT – General Transmittal	Seq Listing Cover Sheet/Stmt under PCT Rule 13ter	Where a sequence listing is provided in both computer readable and in paper form, the applicant supplies a statement verifying that the content of the two forms is the same	P.13TER.STMT		

PCT- Application Part  OR  Change Requests	Power of Attorney	Applicant may file a change in Power of Attorney at any time during prosecution of an application. The POA indicates representatives given permission to act on behalf of the applicant or assignee to prosecute an application (Regular Power of attorney) or several applications (General Power of Attorney).	PA..	<a href="#">PCT Rule 90.4</a> (Regular Power of Attorney) OR <a href="#">PCT Rule 90.5</a> (General Power of Attorney)	
PCT – Application Part OR PCT – General Transmittal	PCT EASY Validation Log	The authoring program devised by the International Bureau for preparing the request form (Form PCT/RO/101) automatically scans entered data for obvious errors and inconsistencies and generates this list of any problems detected.	P.SAFE.LOG		
PCT – Application Part OR PCT – General Transmittal	RO/134 Deposited Microorganisms/Bio Material	If the invention in an international application pertains to a microorganism or other biological material, the applicants use this form to document that they have fulfilled their obligation to deposit a sample with an appropriate authority.	P.134	<a href="#">PCT/RO/134</a>	
PCT General Transmittal	Misc. Incoming Letter from Applicant – IA	Miscellaneous incoming communication from the applicant concerning an international application	P.LET		